

**AC NO:** 150/5100-13

**DATE:** March 1, 1977



# ADVISORY CIRCULAR

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DEVELOPMENT OF STATE STANDARDS FOR GENERAL AVIATION AIRPORTS

**DEPARTMENT OF TRANSPORTATION  
FEDERAL AVIATION ADMINISTRATION**

Initiated by: AAS-200

**AC NO:** 150/5100-13

**DATE:** March 1, 1977



# ADVISORY CIRCULAR

## DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION

**SUBJECT:** DEVELOPMENT OF STATE STANDARDS FOR GENERAL AVIATION AIRPORTS

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1. **PURPOSE.** This advisory circular provides guidelines and programming procedures for the development of state standards for general aviation airports as provided for in the Airport and Airway Development Act Amendments of 1976 (P.L. 94-353).
  2. **REFERENCES.** Advisory Circular (AC) 00-2, Advisory Circular Checklist and Status of Federal Aviation Regulations, updated triannually, contains the listing of all current issuances of advisory circulars and changes thereto. It explains the circular numbering system and gives instructions for ordering advisory circulars that are for sale as well as those distributed free of charge.
    - a. The following free advisory circulars may be obtained from the Department of Transportation, Subsequent Distribution Unit, M-494.3, Washington, D. C. 20590.
      - (1) AC-00-2, Federal Register, Advisory Circular Checklist and Status of Federal Aviation Regulations.
      - (2) AC 150/5000-3, Address List for Regional Airports Divisions and Airports District Offices
      - (3) AC 150/5320-6, Airport Pavement Design and Evaluation.
      - (4) AC 150/5300-4, Utility Airports - Air Access to National Transportation.
      - (5) AC 150/5300-6, Airport Design Standards - General Aviation Airports - Basic and General Transport.
    - b. The following Federal Aviation Regulations (FAR) and advisory circulars may be obtained from the Superintendent of Documents, U.S. Government Printing Office, Washington, D. C. 20402.
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- (1) Federal Aviation Regulations, Part 152, Airport Aid Program.
  - (2) AC 150/5320-5, Airport Drainage.
  - (3) AC 150/5370-10, Standards for Specifying Construction of Airports.
3. BACKGROUND. Section 16(g) of the Airport and Airway Development Act of 1970, as amended, authorizes the Secretary to approve standards established by a state for airport development at general aviation airports, other than standards for safety of approaches. Upon approval, such standards shall be applicable to general aviation airports in that state in lieu of established FAA standards.
4. EFFECTIVE DATE. Prior to issuance of grants to develop state standards, funds must be appropriated by Congress pursuant to the authorization contained in P.L. 94-353. The effective date of this advisory circular will be the date such appropriation is made.

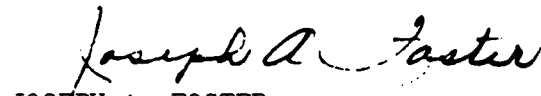
  
JOSEPH A. FOSTER  
Assistant Administrator  
Office of Airports Programs

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1. GENERAL. This advisory circular contains guidelines and programming procedures for the development of state standards as provided for under the Airport and Airway Development Act of 1970, as amended. Section 16(g) of this Act authorizes grants of funds to states to develop standards for airport development at general aviation airports other than standards for safety of approaches. Upon approval by the FAA, such standards will be applicable in lieu of any comparable Federal standards.
2. FEDERAL PARTICIPATION. The maximum percentage of Federal participation in the costs of developing such standards is 75 percent. The aggregate of all grants made to any state for this purpose shall not exceed \$25,000.
3. DEFINITIONS.
  - a. General aviation airport is any public airport which is not an air carrier airport.
  - b. Air carrier airport is an existing public airport regularly served, or a new public airport which the Secretary determines will be regularly served, by an air carrier certificated by the Civil Aeronautics Board under Section 401 of the Federal Aviation Act of 1958 (other than a supplemental air carrier), and a commuter service airport.
  - c. Commuter service airport is an air carrier airport which is not served by an air carrier certificated under Section 401 of the Federal Aviation Act of 1958, but which is regularly served by one or more air carriers operating under exemption granted by the Civil Aeronautics Board from Section 401(a) of the Federal Aviation Act of 1958, and which has not had less than 2,500 passengers enplaned by all air carriers operating from the airport during the preceding calendar year.
4. SPONSOR ELIGIBILITY. States are eligible sponsors for grants to develop standards for airport development at general aviation airports.
5. ELIGIBLE STANDARDS. Standards for airport development at general aviation airports, other than standards for safety of approaches, are eligible. These include standards for the configuration, design, and construction of airports.
  - a. Configuration Standards. These standards relate primarily to the length, width, separation, and clearances of airport runways, taxiways, and aprons. Ranges for FAA dimensional standards applicable to general aviation airports are contained in Advisory Circulars 150/5300-4, Utility Airports - Air Access to National Transportation, and 150/5300-6, Airport Design Standards - General

Aviation Airports - Basic and General Transport, and should be used as guidance in developing state standards in this area. FAA configuration standards have been developed over a period of years and present minimum acceptable values insuring safe operations, taking into consideration the capabilities of pilots and types of aircraft expected to use an airport. They also insure that exemptions to standard terminal instrument procedures will not be required. Typical items eligible for development of state standards include:

- (1) Dimensional standards (runway length and width, taxiway width, lateral clearances).
- (2) Runway surface gradients (longitudinal and transverse).
- (3) Runway/taxiway shoulder gradient.
- (4) Line of sight.
- (5) Turnarounds, turning radii, holding aprons.

State standards developed for these items must be related to the type aircraft expected to utilize a particular facility.

b. Design Standards. Design standards relate to the design of airport pavements and drainage systems.

- (1) Pavement Design. FAA standards for pavement design are contained in Advisory Circular 150/5320-6, Airport Pavement Design and Evaluation, and should be used as guidance in developing state standards. Development of pavement thickness curves contained in this document was based on theoretical analysis of load distribution, analysis of experimental data, and a study of pavement performance under actual service conditions. Pavements constructed in accordance with these standards are intended to provide a pavement life of 20 years and have generally proven satisfactory. State standards developed for pavement design should consider the following factors:

- (a) Maximum gross weight of aircraft.
- (b) Gear type and configuration.
- (c) Traffic volume and distribution.
- (d) Quality of subgrade soil.

All design methods must be supported by adequate documentation.

- (2) Drainage Design. FAA guidance for drainage systems is contained in Advisory Circular 150/5320-5, Airport Drainage. State highway department standards are generally adequate for general aviation airport construction and may be adopted as state standards. Drainage structures should be checked for load-carrying capacity prior to incorporation as standards for airport construction.
- c. Construction Standards. Construction standards relate primarily to materials and methods employed in the construction of airport improvements and are used in the preparation of contract specifications.
  - (1) FAA Standards. These standards are contained in Advisory Circular 150/5370-10, Standards for Specifying Construction of Airports, are general in scope, and serve as a guide to develop specifications for specific projects. It is recommended that the format, language, and options of these standards be used to the maximum extent possible in developing state standards and that modifications and changes be made if necessary to adjust to local conditions, policies, or available materials.
  - (2) State Highway Specifications. These specifications have been developed primarily for use in construction of roads and should be adopted as standards for airport construction only if the performance record under equivalent loadings and exposure has been satisfactory. For pavements which will receive substantial use by aircraft exceeding 60,000 pounds gross weight or with tire pressures greater than 100 psi, FAA standards should be adopted since they have been used successfully for many years on airports serving this type of aircraft and have been validated by extensive research.
- 6. INELIGIBLE STANDARDS. Ineligible for funding is the development of standards which relate to safety in airport approaches. FAA standards, based on operational experience, must be used in this area. They provide guidance to pilots intending to land at an airport and are considered minimum standards for conducting safe approaches during daylight operations, nighttime operations, or periods of reduced visibility. Typical ineligible items include:
  - a. Runway and taxiway lighting configurations.
  - b. Runway and taxiway markings.
  - c. Visual aids.



- d. Approach surface, size, and slope.
  - e. Obstruction removal and protection.
7. ALLOWABLE COSTS. Grants will cover necessary and reasonable costs associated with the following activities:
- a. Formulation of study plan.
  - b. Development of configuration, design, and construction standards.
  - c. Administration of project based on reasonable costs incurred by sponsors, and guidelines set forth in Appendix J of FAR Part 152.
  - d. Printing of a maximum of 10 copies of draft reports.
  - e. Printing of a maximum of 50 copies of approved state standards.

Costs must have been incurred after the date the grant agreement was entered into, except for substantiated costs incurred in formulating the study plan.

8. APPLICATION PROCESS. The steps involved in the application process for grants to develop state standards include preparation of applications by sponsors, and approval of applications and issuance of grant offers by the FAA. The following sets forth steps to be followed in making application for grants in accordance with FAR Part 152.
- a. Preparation of Project Application. Grant applications must be prepared on Standard Form 424, Federal Assistance, and FAA Form 5100-101, Parts II, III, and IV, and be completed by the sponsor in accordance with the instructions on the back pages of the forms, as supplemented below. The completed application form serves as the basis for approval of a project and becomes a part of the grant agreement. Sample application forms are shown in Appendix 1.
    - (1) Sponsor Information (Form 424). This form contains general information concerning the sponsor and the proposed project and is, for the most part, self-explanatory. The Federal funding requested in Item 13 cannot exceed 75 percent of the total cost and is limited to \$25,000.
    - (2) Project Approval Information (Part II, Form 5100-101). Applications must contain evidence that the proposed project has been subjected to the Project Notification and Review System required by Part I of the Office of Management and Budget Circular No. A-95. Therefore, Item 3 of this part should normally be checked on the line indicating "yes."

- (3) Budget Information (Part III, Form 5100-101). This part must be used in submitting all budget information pertaining to the proposed grant. Section F is to be submitted as an attachment on separate sheets and should include a breakdown of costs. This breakdown should be developed on a work-hour and cost per work-hour basis for each category of standards to be developed. Force account work and work which will be accomplished under third-party contracts should be listed separately.
- (4) Program Narrative (Part IV, Form 5100-101). The program narrative must be submitted as an attachment and should contain the following items as a minimum.
- (a) Objective. A brief summary of the sponsor's intentions and general objectives in applying for the grant.
  - (b) Benefits Anticipated. A statement as to the benefits anticipated as a result of this grant. It should include a summary of problem areas that exist and that are to be addressed in developing state standards.
  - (c) Approach. A listing of items for which state standards will be developed, together with a proposed time schedule for accomplishment. In addition, this section should contain a list of organizations, consultants, and/or key personnel who are anticipated to work on a project and their respective areas of responsibility. If states jointly retain a consultant to develop standards for several states, this should be indicated and costs prorated under paragraph 8a(3).
  - (d) Geographical Location. Location of the area where standards will be utilized.
  - (e) Justification for Force Account Work. If the sponsor proposes to accomplish the project with its own forces or those of another public agency this should be indicated in the application. Approval of the use of force account work will be based on FAA's review of the adequacy and competence of the personnel available to accomplish the proposed development of standards. Qualifications of key personnel anticipated to perform the force account work should be included in this section.

- (f) Sponsor's Representative. Identity of the person representing the sponsor in regard to the application, including name, title, address, and telephone number.
  - (5) Assurances (Part V Form 5100-101). This part of the application contains specific assurances with respect to certain facts and legal authorizations. It also sets forth policies, guidelines, and requirements relating to specific laws, regulations, and executive orders.
  - b. Submission of Application. An original and two copies of the completed application should be submitted to the appropriate Airports office for processing and approval.
  - c. Grant Agreements. After the application has been approved, a grant offer will be submitted to the sponsor by the Airports office having jurisdiction over the project. By signing the grant agreement form, the sponsor accepts the grant offer including all statements contained in the approved application and in the grant offer. The sponsor should then submit an original and four copies of the executed grant agreement to the appropriate Airports office. This action completes the project application process.
9. METHODS OF PROJECT ACCOMPLISHMENT. There are several methods of project accomplishments under this program. These include third-party contracts (consultants), force account (sponsor staff), or combination of the two.
- a. Third-Party Contracts. Types of third-party contracts which may be used to develop state standards are:
    - (1) Fixed-Price Contract.
    - (2) Cost Plus-A-Fixed-Fee-Contract.
  - b. Force Account. When projects are accomplished totally or in part by sponsor forces or by the forces of another public agency retained by the sponsor, the method of accomplishment is called force account. The work force involved is carried on the agency's or sponsor's payroll. Indirect costs for supplies, equipment, and overhead are also provided for under force account. Allowable costs are specified in Appendix J of Part 152.
10. GRANT PAYMENT PROCEDURES. Grant payments are made to sponsors by advance Treasury check or reimbursement by Treasury check.

- a. Advance by Treasury Check. An advance by Treasury check is a payment made to a sponsor upon request before disbursements are made by the sponsor. This method may be used when the sponsor's financial management system meets the standards for fund control and accountability prescribed in Appendix 2.
  - b. Reimbursement by Treasury Check. A reimbursement by Treasury check is a payment made to a sponsor upon request for reimbursement.
  - c. Requests for Payment. To submit a payment request, the sponsor should forward an original and two copies of FAA Form 5100-61, Request for Advance or Reimbursement, to the appropriate Airports office. Expenditures shall be subdivided into contractual, administrative, and force account as appropriate. The sponsor may submit requests on a monthly basis.
11. FAA APPROVAL OF STANDARDS. On completion of a project to develop state standards, the sponsor should submit three copies of a final report in draft form to the appropriate Airports office. The report shall contain state standards developed under this project and include the rationale used to establish these standards. The FAA will review the report and submit comments in writing to the state. If the FAA takes exception to certain portions of the report, they will suggest the sponsor modify the standards accordingly. Upon resolution of problem areas five copies of the final report shall be submitted to the Airports office. Upon approval, the state standards shall apply to projects at general aviation airports, IN THAT STATE, in lieu of comparable Federal standards.
  12. REVISION OF STATE STANDARDS. Approved state standards may be revised by the sponsor or FAA when deemed necessary. Revision of standards will also be subject to the FAA approval process. Costs incurred in revising standards are eligible for Federal funding; however, the minimum grant amount is \$5,000. The aggregate of all grants made to any state for development or revision of standards cannot exceed \$25,000.
  13. GRANT CLOSEOUT PROCEDURES. The closeout of a grant is the process by which the FAA and the sponsor perform the necessary final administrative actions to complete all requirements of the grant agreement.
    - a. Final Administrative Report. When a project has been completed and the final report accepted by the FAA, a notice of project completion will be furnished to the sponsor. Within 90 days after receipt of this notice, the sponsor must submit a final financial status report and any other reports required as a condition of the grant.

- b. Accounting Records. Each sponsor must establish and maintain an adequate accounting record which permits FAA personnel to determine the allowability of project costs.
- c. Audit and Final Settlement. The sponsor will allow the FAA access to any books, documents, papers, and records that are pertinent to grants received under this program for the purposes of examination and audit. Based on an audit, the FAA will determine the total amount of the allowable project costs and make settlement for any adjustments to the Federal share of the costs.

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Appendix 1

#### APPENDIX 1. SAMPLE APPLICATION FORM

This appendix contains sample application forms, Standard Form 424 and FAA Form 5100-101. The items completed are done so for illustrational purposes. The forms referenced in this advisory circular can be obtained from Airport offices listed in AC 150/5000-3.



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Appendix 1

OMB Approval No. 29-80210

FEDERAL ASSISTANCE		2. APPLICANT'S APPLICATION	3. STATE APPLICATION IDENTIFIER	4. NUMBER	5. DATE
1. TYPE OF ACTION (Mark appropriate box) <input type="checkbox"/> PREAPPLICATION <input type="checkbox"/> APPLICATION <input type="checkbox"/> NOTIFICATION OF INTENT (0-1) <input type="checkbox"/> REPORT OF FEDERAL ACTION		6. DATE 19	7. DATE 19	8. NUMBER 19	9. DATE 19
4. LEGAL APPLICANT/RECIPIENT a. Applicant Name : b. Organization Unit : c. Street/P.O. Box : d. City : e. State : f. Contact Person (Name & telephone No.) :		5. FEDERAL EMPLOYER IDENTIFICATION NO. a. PRO-GRAM (From Federal Catalog) b. TITLE		6. NUMBER 7. TITLE	
7. TITLE AND DESCRIPTION OF APPLICANT'S PROJECT  Development of State Standards for General Aviation Airports		8. TYPE OF APPLICANT/RECIPIENT A-State B-Interstate C-Substate D-District E-County F-School District G-Special Purpose District H-Community Action Agency I-Higher Educational Institution J-Indian Tribe K-Other (Specify): Enter appropriate letter <input type="checkbox"/> A		9. TYPE OF ASSISTANCE A-Basic Grant B-Supplemental Grant C-Lease D-Insurance E-Other Enter appropriate letter(s) <input type="checkbox"/> A	
10. AREA OF PROJECT IMPACT (Name of cities, counties, States, etc.)		11. ESTIMATED NUMBER OF PERSONS BENEFITING		12. TYPE OF APPLICATION A-New B-Renewal C-Revision D-Continuation E-Augmentation Enter appropriate letter <input type="checkbox"/> A	
13. PROPOSED FUNDING a. FEDERAL \$ .00 b. APPLICANT .00 c. STATE .00 d. LOCAL .00 e. OTHER .00 f. TOTAL \$ .00		14. CONGRESSIONAL DISTRICTS OF: a. APPLICANT b. PROJECT 15. PROJECT START DATE Year month day 19 16. PROJECT DURATION Months 17. ESTIMATED DATE TO BE SUBMITTED TO FEDERAL AGENCY Year month day 19		18. TYPE OF CHANGE (For 150 or 150) A-Increase Dollars B-Decrease Dollars C-Increase Duration D-Decrease Duration E-Cancellation F-Other (Specify): Enter appropriate letter(s) <input type="checkbox"/> A	
19. FEDERAL AGENCY TO RECEIVE REQUEST (Name, City, State, ZIP code) Administration (nearest Airports Office - see AC 150/5300-3)		20. REMARKS ADDED <input type="checkbox"/> Yes <input type="checkbox"/> No		21. THE APPLICANT CERTIFIES THAT: a. To the best of my knowledge and belief, data in this preapplication/application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is approved. b. If required by OMB Circular A-95 this application was submitted, pursuant to its instructions therein, to appropriate clearinghouses and all responses are attached: (1) <input type="checkbox"/> (2) <input type="checkbox"/> (3) <input type="checkbox"/>	
22. CERTIFYING REPRESENTATIVE a. TYPED NAME AND TITLE b. SIGNATURE c. DATE SIGNED Year month day 19		23. AGENCY NAME 24. ORGANIZATIONAL UNIT 25. ADDRESS		26. ADMINISTRATIVE OFFICE 27. FEDERAL APPLICATION IDENTIFICATION 28. FEDERAL GRANT IDENTIFICATION	
29. ACTION TAKEN <input type="checkbox"/> a. AWARDED <input type="checkbox"/> b. REJECTED <input type="checkbox"/> c. RETURNED FOR AMENDMENT <input type="checkbox"/> d. DEFERRED <input type="checkbox"/> e. WITHDRAWN		30. FUNDING a. FEDERAL \$ .00 b. APPLICANT .00 c. STATE .00 d. LOCAL .00 e. OTHER .00 f. TOTAL \$ .00		31. ACTION DATE Year month day 19 32. CONTACT FOR ADDITIONAL INFORMATION (Name and telephone number) 33. STARTING DATE Year month day 19 34. ENDING DATE Year month day 19 35. REMARKS ADDED <input type="checkbox"/> Yes <input type="checkbox"/> No	
36. FEDERAL AGENCY A-95 ACTION a. In taking above action, any comments received from clearinghouses were considered. If agency response is due under provisions of Part 1, OMB Circular A-95, it has been or is being made.		37. FEDERAL AGENCY A-95 OFFICIAL (Name and telephone no.)			

424-101

STANDARD FORM 424 PAGE 1 (10-75)  
Prescribed by GSA, Federal Management Circular 16-7



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**SECTION IV-REMARKS** *(Please reference the proper item number from Sections I, II or III, if applicable)*

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April 11X

## GENERAL INSTRUCTIONS

This is a multi-purpose standard form. First, it will be used by applicants as a required facesheet for pre-applications and applications submitted in accordance with Federal Management Circular 74-7. Second, it will be used by Federal agencies to report to Clearinghouses on major actions taken on applications reviewed by clearinghouses in accordance with OMB Circular A-95. Third, it will be used by Federal agencies to notify States of grants-in-aid awarded in accordance with Treasury Circular 1082. Fourth, it may be used, on an optional basis, as a notification of intent from applicants to clearinghouses, as an early initial notice that Federal assistance is to be applied for (clearinghouse procedures will govern).

## APPLICANT PROCEDURES FOR SECTION I

Applicant will complete all items in Section I. If an item is not applicable, write "NA". If additional space is needed, insert an asterisk "\*", and use the remarks section on the back of the form. An explanation follows for each item:

- | Item   | Item  |
|--|---|
| 1. Mark appropriate box. Pre-application and application guidance is in FMC 74-7 and Federal agency program instructions. Notification of intent guidance is in Circular A-95 and procedures from clearinghouse. Applicant will not use "Report of Federal Action" box.  | D. Insurance. Self explanatory.   |
| 2a. Applicant's own control number, if desired.  | E. Other. Explain on remarks page.  |
| 2b. Date Section I is prepared.  | 10. Governmental unit where significant and meaningful impact could be observed. List only largest unit or units affected, such as State, county, or city. If entire unit affected, list it rather than subunits.   |
| 3a. Number assigned by State clearinghouse, or if delegated by State, by areawide clearinghouse. All requests to Federal agencies must contain this identifier if the program is covered by Circular A-95 and required by applicable State/areawide clearinghouse procedures. If in doubt, consult your clearinghouse. | 11. Estimated number of persons directly benefiting from project.   |
| 3b. Date applicant notified of clearinghouse identifier.   | 12. Use appropriate code letter. Definitions are:   |
| 4a-4h. Legal name of applicant/recipient, name of primary organizational unit which will undertake the assistance activity, complete address of applicant, and name and telephone number of person who can provide further information about this request.   | A. New. A submittal for the first time for a new project.   |
| 5. Employer identification number of applicant as assigned by Internal Revenue Service.  | B. Renewal. An extension for an additional funding/budget period for a project having no projected completion date, but for which Federal support must be renewed each year.  |
| 6a. Use Catalog of Federal Domestic Assistance number assigned to program under which assistance is requested. If more than one program (e.g., joint-funding) write "multiple" and explain in remarks. If unknown, cite Public Law or U.S. Code.   | C. Revision. A modification to project nature or scope which may result in funding change (increase or decrease).   |
| 6b. Program title from Federal Catalog. Abbreviate if necessary.   | D. Continuation. An extension for an additional funding/budget period for a project the agency initially agreed to fund for a definite number of years.   |
| 7. Brief title and appropriate description of project. For notification of intent, continue in remarks section if necessary to convey proper description.  | E. Augmentation. A requirement for additional funds for a project previously awarded funds in the same funding/budget period. Project nature and scope unchanged.   |
| 8. Mostly self-explanatory. "City" includes town, township or other municipality.  | 13. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of the change. For decreases enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in remarks. For multiple program funding, use totals and show program breakouts in remarks. Item definitions: 13a, amount requested from Federal Government; 13b, amount applicant will contribute; 13c, amount from State, if applicant is not a State; 13d, amount from local government, if applicant is not a local government; 13e, amount from any other sources, explain in remarks. |
| 9. Check the type(s) of assistance requested. The definitions of the terms are:  | 14a. Self explanatory.  |
| A. Basic Grant. An original request for Federal funds. This would not include any contribution provided under a supplemental grant.  | 14b. The district(s) where most of actual work will be accomplished. If city-wide or State-wide, covering several districts, write "city-wide" or "State-wide."   |
| B. Supplemental Grant. A request to increase a basic grant in certain cases where the eligible applicant cannot supply the required matching share of the basic Federal program (e.g., grants awarded by the Appalachian Regional Commission to provide the applicant a matching share).                               | 15. Complete only for revisions (item 12c), or augmentations (item 12e).  |
| C. Loan. Self explanatory.   |   |

Item		Item	
16.	Approximate date project expected to begin (usually associated with estimated date of availability of funding).	19.	Existing Federal identification number if this is not a new request and directly relates to a previous Federal action. Otherwise write "NA".
17.	Estimated number of months to complete project after Federal funds are available.	20.	Indicate Federal agency to which this request is addressed. Street address not required, but do use ZIP.
18.	Estimated date preapplication/application will be submitted to Federal agency if this project requires clearinghouse review. If review not required, this date would usually be same as date in Item 2b.	21.	Check appropriate box as to whether Section IV of form contains remarks and/or additional remarks are attached.

## APPLICANT PROCEDURES FOR SECTION II

Applicants will always complete items 23a, 23b, and 23c. If clearinghouse review is required, item 22b must be fully completed. An explanation follows for each item:

Item		Item	
22b.	List clearinghouses to which submitted and show in appropriate blocks the status of their responses. For more than three clearinghouses, continue in remarks section. All written comments submitted by or through clearinghouses must be attached.	23b.	Self explanatory.
23a.	Name and title of authorized representative of legal applicant.	23c.	Self explanatory.
		Note:	Applicant completes only Sections I and II. Section III is completed by Federal agencies.

## FEDERAL AGENCY PROCEDURES FOR SECTION III

If applicant-supplied information in Sections I and II needs no updating or adjustment to fit the final Federal action, the Federal agency will complete Section III only. An explanation for each item follows:

Item		Item	
24.	Executive department or independent agency having program administration responsibility.	35.	Name and telephone no. of agency person who can provide more information regarding this assistance.
25.	Self explanatory.	36.	Date after which funds will no longer be available.
26.	Primary organizational unit below department level having direct program management responsibility.	37.	Check appropriate box as to whether Section IV of form contains Federal remarks and/or attachment of additional remarks.
27.	Office directly monitoring the program.	38.	For use with A-95 action notices only. Name and telephone of person who can assure that appropriate A-95 action has been taken—if same as person shown in item 35, write "same". If not applicable, write "NA".
28.	Use to identify non-award actions where Federal grant identifier in item 30 is not applicable or will not suffice.		
29.	Complete address of administering office shown in item 26.		
30.	Use to identify award actions where different from Federal application identifier in item 28.		
31.	Self explanatory. Use remarks section to amplify where appropriate.		
32.	Amount to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of change. For decreases, enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in remarks. For multiple program funding, use totals and show program breakouts in remarks. Item definitions: 32a, amount awarded by Federal Government; 32b, amount applicant will contribute; 32c, amount from State, if applicant is not a State; 32d, amount from local government if applicant is not a local government; 32e, amount from any other sources, explain in remarks.		
33.	Date action was taken on this request.		
34.	Date funds will become available.		

### Federal Agency Procedures—special considerations

- Treasury Circular 1082 compliance.** Federal agency will assure proper completion of Sections I and III. If Section I is being completed by Federal agency, all applicable items must be filled in. Addresses of State Information Reception Agencies (SCIRA's) are provided by Treasury Department to each agency. This form replaces SF 240, which will no longer be used.
- OMB Circular A-95 compliance.** Federal agency will assure proper completion of Sections I, II, and III. This form is required for notifying all reviewing clearinghouses of major actions on all programs reviewed under A-95. Addresses of State and areawide clearinghouses are provided by OMB to each agency. Substantive differences between applicant's request and/or clearinghouse recommendations, and the project as finally awarded will be explained in A-95 notifications to clearinghouses.
- Special note.** In most, but not all States, the A-95 State clearinghouse and the (TC 1082) SCIRA are the same office. In such cases, the A-95 award notice to the State clearinghouse will fulfill the TC 1082 award notice requirement to the State SCIRA. Duplicate notification should be avoided.

3/1/77

AC 150/5100-1  
Appendix 1

## DEPARTMENT OF TRANSPORTATION - FEDERAL AVIATION ADMINISTRATION

## PART II

OMB NO. 9010-106

## PROJECT APPROVAL INFORMATION

## Item 1.

Does this assistance request require State, local, regional, or other priority rating?

☐ Yes ☒ No

Name of Governing Body \_\_\_\_\_

Priority Rating \_\_\_\_\_

## Item 2.

Does this assistance request require State, or local advisory, educational or health clearances?

☐ Yes ☒ No (Attach Documentation)

Name of Agency or Board \_\_\_\_\_

\_\_\_\_\_

## Item 3.

Does this assistance request require clearinghouse review in accordance with OMB Circular A-95?

☒ Yes ☐ No

(Attach Comments) \_\_\_\_\_

## Item 4.

Does this assistance request require State, local, regional or other planning approval?

☐ Yes ☒ No

Name of Approving Agency \_\_\_\_\_

Date \_\_\_\_\_

## Item 5.

Is the proposed project covered by an approved comprehensive plan?

☐ Yes ☒ NoCheck one: State ☐Local ☐Regional ☐

Location of Plan \_\_\_\_\_

## Item 6.

Will the assistance requested serve a Federal installation?

☐ Yes ☒ No

Name of Federal Installation \_\_\_\_\_

Federal Population benefiting from Project \_\_\_\_\_

## Item 7.

Will the assistance requested be on Federal land or installation?

☐ Yes ☒ No

Name of Federal Installation \_\_\_\_\_

Location of Federal Land \_\_\_\_\_

Percent of Project \_\_\_\_\_

## Item 8.

Will the assistance requested have an impact or effect on the environment?

☐ Yes ☒ No

See instructions for additional information to be provided.

## Item 9.

Will the assistance requested cause the displacement of individuals, families, businesses, or farms?

☐ Yes ☒ No

Number of:

Individuals \_\_\_\_\_

Families \_\_\_\_\_

Businesses \_\_\_\_\_

Farms \_\_\_\_\_

## Item 10.

Is there other related assistance on this project previous, pending, or anticipated?

☐ Yes ☐ No

See instructions for additional information to be provided.

## INSTRUCTIONS

### PART II

Negative answers will not require an explanation unless the Federal agency requests more information at a later date. Provide supplementary data for all "Yes" answers in the space provided in accordance with the following instructions:

Item 1 - Provide the name of the governing body establishing the priority system and the priority rating assigned to this project.

Item 2 - Provide the name of the agency or board which issued the clearance and attach the documentation of status or approval.

Item 3 - Attach the clearinghouse comments for the application in accordance with the instructions contained in Office of Management and Budget Circular No. A-95. If comments were submitted previously with a preapplication, do not submit them again but any additional comments received from the clearinghouse should be submitted with this application.

Item 4 - Furnish the name of the approving agency and the approval date.

Item 5 - Show whether the approved comprehensive plan is State, local or regional, or if none of these, explain the

scope of the plan. Give the location where the approved plan is available for examination and state whether this project is in conformance with the plan.

Item 6 - Show the population residing or working on the Federal installation who will benefit from this project.

Item 7 - Show the percentage of the project work that will be conducted on federally-owned or leased land. Give the name of the Federal installation and its location.

Item 8 - Describe briefly the possible beneficial and harmful impact on the environment of the proposed project. If an adverse environmental impact is anticipated, explain what action will be taken to minimize the impact. Federal agencies will provide separate instructions if additional data is needed.

Item 9 - State the number of individuals, families, businesses, or farms this project will displace. Federal agencies will provide separate instructions if additional data is needed.

Item 10 - Show the Federal Domestic Assistance Catalog number, the program name, the type of assistance, the status and the amount of each project where there is related previous, pending or anticipated assistance. Use additional sheets, if needed.

3/1/77

AC 150/5100-1

Appendix 1

## DEPARTMENT OF TRANSPORTATION - FEDERAL AVIATION ADMINISTRATION

OMB NO. 9100-104

## PART III - BUDGET INFORMATION

## SECTION A - BUDGET SUMMARY

Grant Program, Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. State Standards for G.A. Airports		\$	\$	\$ 22,500	\$ 7,500	\$ 30,000
2.						
3.						
4.						
5. TOTALS		\$	\$	\$ 22,500	\$ 7,500	\$ 30,000

## SECTION B - BUDGET CATEGORIES

Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) State Standards	(3)	(4)	(5)	
a. Personnel	\$ 30,000	\$	\$	\$	\$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges					
j. Indirect Charges					
k. TOTALS	\$ 30,000	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$

FAA Form 5100-101 (6-73) SUPERSEDES FAA FORM 5910-1 AND 5920-1

Page 3

## INSTRUCTIONS

### PART III

#### General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may not require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

#### Section A. Budget Summary

##### Lines 1-4, Columns (a) and (b).

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to *multiple* programs where *none* of the programs *require* a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

##### Lines 1-4, Columns (c) through (g).

For *new* applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For *continuing* grant program applications, submit these forms before the end of each funding period as required by

the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period *only* if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For *supplemental grants and changes to existing grants*, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should *not* equal the sum of amounts in Columns (e) and (f).

Line 5 — Show the totals for all columns used.

#### Section B. Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets were prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-h — Show the estimated amount for each direct cost budget (object class) category for each column with program, function or activity heading.

Line 6i — Show the totals of Lines 6a to 6h in each column.

Line 6j — Show the amount of indirect cost. Refer to Office of Management and Budget Circular No. A 87.

Line 6k — Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5. When additional sheets were prepared, the last two sentences apply only to the first page with summary totals.

Line 7 — Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

## SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program	(b) APPLICANT	(c) STATE	(d) OTHER SOURCES	(e) TOTALS
9 Develop State Standards for G. A. Airports	7,500	\$	\$	\$ 7,500
10				
11				
12 TOTALS	\$ 7,500	\$	\$	\$ 7,500

## SECTION D - FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13 Federal	\$ 22,500	\$ 3,000	\$ 7,500	\$ 9,000	\$ 3,000
14 Non-Federal	7,500	1,000	2,500	3,000	1,000
15 TOTAL	\$ 30,000	\$ 4,000	\$ 10,000	\$ 12,000	\$ 4,000

## SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b) FIRST	(c) SECOND	(d) THIRD	(e) FOURTH
16	\$	\$	\$	\$
17				
18				
19				
20 TOTALS	\$	\$	\$	\$

## SECTION F - OTHER BUDGET INFORMATION

(Attach additional Sheets if Necessary)

21 Direct Charges:

22 Indirect Charges: (Note: Attach additional sheets showing a breakdown of costs developed on a work-hour and cost per work-hour basis.)

23 Remarks:

## PART IV PROGRAM NARRATIVE (Attach per instruction)



## INSTRUCTIONS

### Section F - Other Budget Information

Line 21 - Use this space to plan amounts for individual direct object cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, pre determined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations required herein or any other comments deemed necessary.

### PART III (continued)

#### Section C. Source of Non-Federal Sources

Line 8-11 - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet. (See Attachment F, Office of Management and Budget Circular No. A-102.)

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the amount of cash and in-kind contributions to be made by the applicant as shown in Section A. (See also Attachment F, Office of Management and Budget Circular No. A-102.)

Column (c) - Enter the State contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b) (c), and (d). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

#### Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

#### Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuing grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This Section need not be completed for amendments, changes, or supplements to funds for the current year of existing grants.

If more than four lines are needed to list the program titles submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b) (c). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

accomplishments to be achieved in such terms as the number of jobs created, the number of people served, and the number of patients treated. When accomplishments cannot be quantified by activity or function, list them in chronological order to show the schedule of accomplishments and their target dates.

c. Identify the kinds of data to be collected and maintained and discuss the criteria to be used to evaluate the results and successes of the project. Explain the methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified in item 2 are being achieved.

d. List organizations, cooperators, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

#### 4. GEOGRAPHIC LOCATION.

Give a precise location of the project or area to be served by the proposed project. Maps or other graphic aids may be attached.

#### 5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

a. For research or demonstration assistance requests present a biographical sketch of the program director with the following information: name, address, phone number, background, and other qualifying experience for the project. Also, list the name, training and background for other key personnel engaged in the project.

b. Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location approach, or time delays explain and justify. For other requests for changes or amendments, explain the reason for the changes in the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget has been exceeded, individual budget items have changed more than the prescribed limits contained in Attachment K, Office of Management and Budget Circular No. A-102, explain and justify the change and its effect on the project.

c. For supplemental assistance requests, explain the reason for the request and justify the need for additional funding.

### PART IV

#### PROGRAM NARRATIVE

Prepare the program narrative statement in accordance with the following instructions for all new grant programs. Requests for continuation or refunding and changes on an approved project should respond to item 5b only. Requests for supplemental assistance should respond to question 5c only.

#### 1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. Demonstrate the need for assistance and state the principal and subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

#### 2. RESULTS OR BENEFITS EXPECTED.

Identify results and benefits to be derived. For example, when applying for a grant to establish a neighborhood health center provide a description of who will occupy the facility, how the facility will be used, and how the facility will benefit the general public.

#### 3. APPROACH.

a. Outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished for each grant program, function or activity, provided in the budget. Cite factors which might accelerate or decelerate the work, and your reason for taking this approach as opposed to others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.

b. Provide for each grant program, function or activity, quantitative monthly or quarterly projections of the

## PART V

## ASSURANCES

The Applicant heretby assures and certifies that he will comply with the regulations, policies, guidelines, and requirements including OMB Circulars Nos. A-87, A-95, and A-102, as they relate to the application, acceptance and use of Federal funds for this Federally assisted project. Also the Applicant assures and certifies with respect to the grant that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of that Act, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effectuate this agreement.
3. It will comply with Title VI of the Civil Rights Act of 1964 (42 USC 2000d) prohibiting employment discrimination where (1) the primary purpose of a grant is to provide employment or (2) discriminatory employment practices will result in unequal treatment of persons who are or should be benefiting from the grant-aided activity.
4. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally assisted programs.
5. It will comply with the provisions of the Hatch Act which limit the political activity of employees.
6. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to hospital and educational institution employees of State and local governments.
7. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
8. It will give the grantor agency or the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents related to the grant.
9. It will comply with all requirements imposed by the Federal grantor agency concerning special requirements of law, program requirements, and other administrative requirements approved in accordance with Office of Management and Budget Circular No. A-102.



## APPENDIX 2. STANDARDS FOR GRANTEE FINANCIAL MANAGEMENT SYSTEMS

This appendix is a reprint of Appendix K of Part 152 of the Federal Aviation Regulations.

## APPENDIX K

There is set forth below standards for grantee financial management systems applicable to grants under the Airport and Airway Development Act of 1970.

**STANDARDS FOR GRANTEE  
FINANCIAL MANAGEMENT SYSTEMS**

1. This appendix prescribes standards for financial management systems of grant-supported activities of State and local governments under the Airport and Airway Development Act of 1970.

2. Grantee financial management systems shall provide for:

a. Accurate, current, and complete disclosure of the financial results of each grant program in accordance with Federal reporting requirements. When a Federal grantor agency requires reporting on an accrual basis and the grantee's accounting records are not kept on that basis, the grantee should develop such information through an analysis of the documentation on hand or on the basis of best estimates.

b. Records which identify adequately the source and application of funds for grant-supported activities. These records shall contain information pertaining to grant awards and authorizations, obligations, unobligated balances, assets, liabilities, outlays, and income.

c. Effective control over and accountability for all funds, property, and other assets. Grantees shall adequately safeguard all such assets and shall assure that they are used solely for authorized purposes.

d. Comparison of actual with budgeted amounts for each grant. Also, relation of

financial information with performance or productivity data, including the production of unit cost information whenever appropriate and required by the grantor agency.

e. Procedures to minimize the time elapsing between the transfer of funds from the U.S. Treasury and the disbursement by the grantee, whenever funds are advanced by the Federal Government. When advances are made by a letter-of-credit method, the grantee shall make drawdowns from the U.S. Treasury through his commercial bank as close as possible to the time of making the disbursements.

f. Procedures for determining the allowability and allocability of costs in accordance with the provisions of Appendix J of this Part.

g. Accounting records which are supported by source documentation.

h. Audits to be made by the grantee or at his direction to determine, at a minimum, the fiscal integrity of financial transactions and reports, and the compliance with laws, regulations, and administrative requirements. The grantee will schedule such audits with reasonable frequency, usually annually, but not less frequently than once every two years, considering the nature, size, and complexity of the activity.

i. A systematic method to assure timely and appropriate resolution of audit findings and recommendations.

3. Grantees shall require subgrantees (recipients of grants which are passed through by the grantee) to adopt all of the standards in paragraph 2 above.







